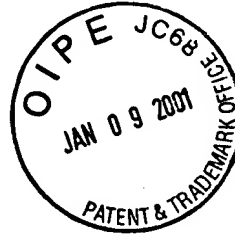


IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re the Application of: **Minoru WAKI**

Serial Number: **09/673,194**

Filed: **October 12, 2000**



Group Art Unit: **1751**

For: **WATER-BASED PIGMENT DISPERSION, PROCESS FOR PREPARING THE SAME  
AND WATER-BASED INK CONTAINING THE SAME**

**REQUEST FOR CORRECTED FILING RECEIPT**

Director of Patents and Trademarks  
Washington, D.C. 20231

Date: January 9, 2001

Sir:

Please supply the undersigned attorney with a corrected filing receipt for the above-identified application. The undersigned also respectfully requests that the Patent and Trademark Office records be amended to reflect the correction.

In reviewing the Official Filing Receipt, we noted an error in that the International filing date is incorrect.

**Please correct the following: ("04/12/1999") should be (--04/13/1999--).**

A copy of the declaration is enclosed which indicates the correct information.

We are enclosing a copy of the filing receipt with the corrections highlighted.

In the event that any fees are required in connection with this paper, please charge our Deposit Account No. 01-2340.

Respectfully submitted,

**ARMSTRONG, WESTERMAN, HATTORI,  
MCLELAND & NAUGHTON, LLP**

Stephen G. Adrian  
Attorney for Applicant  
Reg. No. 32,878

Atty. Docket No. 001350  
1725 K Street, N.W., Suite 1000  
Washington, DC 20006  
Tel: (202) 659-2930  
Fax: (202) 887-0357  
SGA/II

Enclosure: Copy of Filing Receipt & Copy of Declaration

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APR 26 2001  
TC 1700 MAIL ROOM

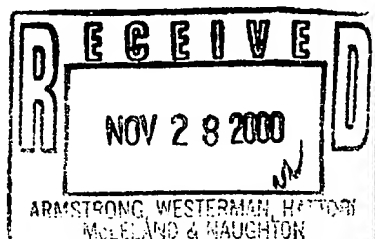


## UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO	DRAWINGS	TOT CLAIMS	IND CLAIMS
09/673,194	10/12/2000	1751	860	001350		9	1

Armstrong Westerman Hattori  
McLeland & Naughton  
1725 K Street N W Suite 1000  
Washington, DC 20006



## FILING RECEIPT



\*OC000000005574260\*

Date Mailed: 11/24/2000

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the PTO processes the reply to the Notice, the PTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

## Applicant(s)

Minoru Waki, Hyogo, JAPAN;

## Continuing Data as Claimed by Applicant

THIS APPLICATION IS A 371 OF PCT/JP99/01954 04/12/1999 ✓  
(--04/13/1999--)

## Foreign Applications

JAPAN 104417/1998 04/15/1998

If Required, Foreign Filing License Granted 11/24/2000

## Title

Aqueous pigment dispersion, process for producing the same, and water-based ink comprising the same

## Preliminary Class

008

Data entry by : NGUYEN, SON

Team : OIPE

Date: 11/24/2000



# Declaration For U.S. Patent Application

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name.

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled

(Insert Title) WATER-BASED PIGMENT DISPERSION, PROCESS FOR PREPARING THE SAME AND  
WATER-BASED INK CONTAINING THE SAME

the specification of which is attached hereto unless the following is checked:

was filed on April 13, 1999 as United States Application Number or PCT International  
☒ Application Number PCT/JP99/01954 and was amended on \_\_\_\_\_  
 (if applicable).

I hereby state that I have reviewed and understand the contents of the above-identified specification, including the claim(s), as amended by any amendment referred to above.

I acknowledge the duty to disclose information which is material to patentability as defined in Title 37, Code of Federal Regulations, § 1.56.

I hereby claim foreign priority benefits under Title 35, United States Code, § 119 (a) - (d) of any foreign application(s) for patent or inventor's certificate listed below and have also identified below any foreign application for patent or inventor's certificate having a filing date before that of the application on which priority is claimed:

(List prior foreign applications. See note A on back of this page)	<u>104417/1998</u>	<u>Japan</u>	<u>15/4/1998</u>	Priority Claimed
	(Number)	(Country)	(Day/Month/Year Filed)	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
	_____	_____	_____	<input type="checkbox"/> Yes <input type="checkbox"/> No
	_____	_____	_____	<input type="checkbox"/> Yes <input type="checkbox"/> No
	_____	_____	_____	<input type="checkbox"/> Yes <input type="checkbox"/> No
	_____	_____	_____	<input type="checkbox"/> Yes <input type="checkbox"/> No

(See note B on back of this page)

☐ See attached list for additional prior foreign applications

I hereby claim the benefit under Title 35, United States Code, § 119(e) of any United States provisional application(s) listed below.

_____	_____
(Application Number)	(Filing Date)
_____	_____
(Application Number)	(Filing Date)

I hereby claim the benefit under Title 35, United States Code, § 120 of any United States application(s) listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph of Title 35, United States Code, § 112, I acknowledge the duty to disclose information which is material to patentability as defined in Title 37, Code of Federal Regulations, § 1.56 which became available between the filing date of the prior application and the national or PCT international filing date of the application:

(List Prior U.S. Applications)	(Application Serial Number)	(Filing Date)	(Status) (patented, pending, abandoned)
	_____	_____	_____
	_____	_____	_____

I hereby appoint the following attorney(s) and/or agent(s) to prosecute this application and to transact all business in the Patent and Trademark Office connected therewith:

James E. Armstrong, III, Reg. No. 18,366; William F. Westerman, Reg. No. 29,988; Ken-Ichi Hattori, Reg. No. 32,861; Le-Nhung McLeland, Reg. No. 31,541; Ronald F. Naughton, Reg. No. 24,616; John R. Pegan, Reg. No. 18,069; William G. Kratz, Jr., Reg. No. 22,631; Albert Tockman, Reg. No. 19,722; Mel R. Quintos, Reg. No. 31,898; Donald W. Hanson, Reg. No. 27,133; Stephen G. Adrian, Reg. No. 32,878; William L. Brooks, Reg. No. 34,129; John F. Carney, Reg. No. 20,276; Edward F. Welsh, Reg. No. 22,455; Patrick D. Muir, Reg. No. 37,403; Gay A. Spahn, Reg. No. 34,978; and John

U.S. DEPARTMENT OF COMMERCE, PATENT AND TRADEMARK OFFICE		DATE: <b>Oct ber 12, 2000</b>
<b>TRANSMITTAL LETTER TO THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US) CONCERNING A FILING UNDER 35 U.S.C. 371</b>		U.S. APPLN. NO. (if known):
INTERNATIONAL APPLICATION NO.: <b>PCT/JP99/01954</b>	INTERNATIONAL FILING DATE: <b>APRIL 13, 1999</b>	PRIORITY DATE CLAIMED: <b>APRIL 15, 1998</b>
TITLE OF INVENTION: <b>WATER-BASED PIGMENT DISPERSION, PROCESS FOR PREPARING THE SAME AND WATER-BASED INK CONTAINING THE SAME</b>		
APPLICANT(S) FOR DO/EO/US: <b>Minoru WAKI</b>		
Applicant hereby submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:		
<ol style="list-style-type: none"> <li>1. <u>XX</u> This is a <b>FIRST</b> submission of items concerning a filing under 35 U.S.C. 371.</li> <li>2. <u>   </u> This is a <b>SECOND</b> or <b>SUBSEQUENT</b> submission of items concerning a filing under 35 U.S.C. 371.</li> <li>3. <u>XX</u> This express request to begin national examination procedures (35 USC 371(f)) at any time rather than delay examination until the expiration of the time limit set in 35 USC 371(b) and PCT Articles 22 and 39(1).</li> <li>4. <u>XX</u> A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date.</li> <li>5. <u>XX</u> A copy of the International Application as filed (35 U.S.C. 371(c)(2)): <ol style="list-style-type: none"> <li>a. <u>   </u> is transmitted herewith (required only if not transmitted by the International Bureau).</li> <li>b. <u>XX</u> has been transmitted by the International Bureau.</li> <li>c. <u>   </u> is not required, as the application was filed in the United States Receiving Office (RO/US)</li> </ol> </li> <li>6. <u>XX</u> A translation of the International Application into English (35 U.S.C. 371(c)(2)).</li> <li>7. <u>XX</u> Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3)) <ol style="list-style-type: none"> <li>a. <u>   </u> are transmitted herewith (required only if not transmitted by the International Bureau).</li> <li>b. <u>   </u> have been transmitted by the International Bureau.</li> <li>c. <u>   </u> have not been made; however, the time limit for making such amendments has NOT expired.</li> <li>d. <u>XX</u> have not been made and will not be made.</li> </ol> </li> <li>8. <u>   </u> A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).</li> <li>9. <u>XX</u> An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).</li> <li>10. <u>   </u> A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).</li> </ol>		
<b>ITEMS 11. TO 16. BELOW CONCERN OTHER DOCUMENT(S) OR INFORMATION INCLUDED:</b>		
<ol style="list-style-type: none"> <li>11. <u>XX</u> An Information Disclosure Statement under 37 CFR 1.97 and 1.98.</li> <li>12. <u>XX</u> An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.</li> <li>13. <u>   </u> A <b>FIRST</b> preliminary amendment.  <u>   </u> A <b>SECOND</b> or <b>SUBSEQUENT</b> preliminary amendment</li> <li>14. <u>   </u> A substitute specification.</li> <li>15. <u>   </u> A change of power of attorney and/or address letter.</li> <li>16. <u>   </u> Other items or information:</li> </ol>		